



PTO/SB/21 (09-04) (AW 10/2004)

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**TRANSMITTAL
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

| | |
|----------------------|---|
| Application Number | 09/863,593 |
| Filing Date | May 23, 2001 |
| First Named Inventor | Parag Pruthi |
| Art Unit | 2663 |
| Examiner Name | Duc T. Duong |
| Attorney Docket No. | NIK-100US (Formerly 38731-1US (180498)) |

ENCLOSURES (Check all that apply)

- | | | |
|---|--|---|
| <input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/Declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/ Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation, Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____ <input type="checkbox"/> Landscape Table on CD | <input type="checkbox"/> After Allowance Communication to TC <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): PTO/SB/08a-b (3 sheets); 26 references; Return Receipt Post Card |
|---|--|---|

Remarks:**SIGNATURE OF APPLICANT, ATTORNEY OR AGENT**

| | | | |
|--------------|---------------------------|------------------|--------|
| Firm Name | RatnerPrestia | | |
| Signature | | | |
| Printed Name | Christopher J. Dervishian | | |
| Date | September 12, 2005 | Registration No. | 42,480 |

CERTIFICATE OF TRANSMISSION / MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below:

| | | | |
|-----------------------|----------------------|------|--------------------|
| Signature | | | |
| Typed or Printed Name | Patricia C. Boccella | Date | September 12, 2005 |

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Office, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, ALEXANDRIA, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appln. No: 09/863,593
Applicant: Parag Pruthi et al.
Filed: May 23, 2001
Title: APPARATUS AND METHOD FOR COLLECTING AND ANALYZING
COMMUNICATIONS DATA
TC/A.U.: 2663
Examiner: Duc T. Duong

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Mail Stop Amendment
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

Pursuant to 37 C.F.R. §§ 1.97 and 1.98 and to the duty of disclosure set forth in 37 C.F.R. § 1.56, the Examiner in charge of the above-identified application is requested to consider and make of record the references listed on the PTO/SB/08a and PTO/SB/08b forms submitted herewith. A copy of the references listed on the PTO/SB/08a and PTO/SB/08b forms is enclosed.

Although the information submitted herewith may be "material" to the Examiner's consideration of the subject application, this submission is not intended to constitute an admission that such information is "prior art" as to the claimed invention.

In accordance with 37 C.F.R. § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Enclosed and listed on the PTO/SB/08a and PTO/SB/08b forms are communications received for corresponding foreign and international applications and references cited in such communications. The information submitted herewith is provided to ensure compliance with Applicants duty of disclosure under an interpretation of *Dayco Prods., Inc. v. Total Containment, Inc.*, 329 F.3d 1358 (Fed. Cir. 2003).

This Information Disclosure Statement is being filed within three months of the filing date of the above-referenced application or before mailing of the first Official Action. No

first Official Action has yet been received and it is presumed that none has yet been mailed. No fee or statement is required. 37 C.F.R. § 1.97(b). The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

Respectfully submitted,



Christopher J. Dervishian, Reg. No. 42,480
Attorney for Applicants

CJD/pb

Enclosures: PTO/SB/08a and PTO/SB/08b (2)
(26) References
Transmittal Form

Dated: September 12, 2005

P.O. Box 980
Valley Forge, PA 19482
(610) 407-0700

The Commissioner for Patents is hereby authorized to charge payment to Deposit Account No. 18-0350 of any fees associated with this communication.

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Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on: September 12, 2005



Patricia C. Bocella

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

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| First Named Inventor | Parag Pruthi |
| Art Unit | 2663 |
| Examiner Name | Duc T. Duong |
| Attorney Docket No. | NIK-100US (Formerly 38731-1US (180498)) |

SHEET 1 of 3**U.S. PATENT DOCUMENTS**

| Examiner Initials* | Cite No. ¹ | Document Number | Publication Date (MM-DD-YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear |
|-----------------------|--------------------------|--|----------------------------------|--|---|
| | | Number - Kind Code ² (if known) | | | |
| | | US-5,521,907 | 05/28/1996 | Ennis, Jr. et al. | |
| | | US-5,790,605 | 08/04/1998 | Helm et al. | |
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FOREIGN PATENT DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Foreign Patent Document | Publication Date (MM-DD- YYYY) | Name of Patentee or Applicant of Cited Document | Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear | T ⁶ |
|-----------------------|--------------------------|--|--------------------------------------|---|--|--------------------------|
| | | Country Code ³ - Number ⁴ - Kind Code ⁵ (if known) | | | | |
| | 1. | GB 2 300 789 A | 11/13/1996 | General DataComm Advanced Research Centre Limited | | <input type="checkbox"/> |
| | 2. | EP 0 544 454 A2 | 06/02/1993 | Cray Communications Limited | | <input type="checkbox"/> |
| | 3. | JP 09 046391 (Abstract Only) | 02/14/1997 | Nipon Telegr & Teleph Corp. | | <input type="checkbox"/> |
| | | | | | | <input type="checkbox"/> |
| | | | | | | <input type="checkbox"/> |
| | | | | | | <input type="checkbox"/> |

Examiner
SignatureDate
Considered

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹Applicant's unique citation designation number (optional).

²See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04.

³Enter Office that issued the document, by the two-letter code (WIPO Standard St.3).

⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document.

⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible.

⁶Applicant is to place a check mark here if English language translation is attached.

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**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

SHEET 2 of 3

Complete if Known

| | |
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| Application Number | 09/863,593 |
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NON-PATENT LITERATURE DOCUMENTS

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ² |
|--------------------|-----------------------|--|--------------------------|
| | A. | IP Australia - Examiner's first report for Application 23487/00 dated August 7, 2002. | <input type="checkbox"/> |
| | B. | IP Australia - Examiner's Report No. 2 for Application 23487/00 dated May 6, 2004. | <input type="checkbox"/> |
| | C. | Office Action of Canadian Intellectual Property Office for Application 2,351,175 dated October 14, 2004 | <input type="checkbox"/> |
| | D. | First Office Action of Chinese Patent Office for Application 99813560.7. English version attached. | <input type="checkbox"/> |
| | E. | Second Office Action of Chinese Patent Office for Application 99813560.7 dated November 12, 2004. English version attached | <input type="checkbox"/> |
| | F. | Official Action of Finland National Board of Patents and Registration for Application 20011009 dated May 18, 2004. English translation attached. | <input type="checkbox"/> |
| | G. | Examination Report for Application GB 0112566.5 dated March 21, 2003. | <input type="checkbox"/> |
| | H. | Examination Report for Application GB 0112566.5 dated November 10, 2003. | <input type="checkbox"/> |
| | I. | First Examination Report of Intellectual Property India for Application IN/PCT/2001/00504 dated January 13, 2004. | <input type="checkbox"/> |
| | J. | Second Examination Report of Intellectual Property India for Application IN/PCT/2001/00504 dated December 20, 2004. | <input type="checkbox"/> |
| | K. | Notification of Reason For Rejection of Japan Patent Office for Application 2000-584679 dated March 23, 2004. English translation attached. | <input type="checkbox"/> |
| | L. | Notification of Reason For Rejection of Japan Patent Office for Application 2000-584679 dated November 9, 2004. English translation attached. | <input type="checkbox"/> |
| | M. | Office Action of Swedish Patent and Registration Office for Application 0101745-8 dated June 13, 2003. English translation attached. | <input type="checkbox"/> |
| | N. | Second Office Action of Swedish Patent and Registration Office for Application 0101745-8. English translation only. | <input type="checkbox"/> |

| | | | |
|--------------------|--|-----------------|--|
| Examiner Signature | | Date Considered | |
|--------------------|--|-----------------|--|

*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

¹Applicant's unique citation designation number (optional).

²Applicant is to place a check mark here if English language translation is attached.

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SHEET 3 of 3**NON-PATENT LITERATURE DOCUMENTS**

| Examiner Initials* | Cite No. ¹ | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published | T ² |
|--------------------|-----------------------|--|--------------------------|
| | O. | Official letter of Swedish Patent and Registration Office for Application 0501119-2 dated June 22, 2005. English translation attached. | <input type="checkbox"/> |
| | P. | International Search Report for application PCT/US99/27969 dated April 5, 2000. | <input type="checkbox"/> |
| | Q. | International Preliminary Examination Report for application PCT/US99/27969 dated January 15, 2001. | <input type="checkbox"/> |
| | R. | International Search Report for application PCT/US01/15601 dated August 29, 2001. | <input type="checkbox"/> |
| | S. | International Preliminary Examination Report for application PCT/US01/15601 dated December 30, 2002. | <input type="checkbox"/> |
| | T. | Supplementary Partial European Search Report for application no. 99967146.4 dated May 13, 2005. | <input type="checkbox"/> |
| | U. | Supplementary European Search Report for application no. 99967146.4 dated August 16, 2005. | <input type="checkbox"/> |
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